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DEPARTMENT OF DEFENSE

Under Secretary of Defense for
Acquisition (703) 274-6884

CENTERS FOR ANALYSIS OF SCIENTIFIC AND TECHNICAL INFORMATION REGULATION

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FOREWORD

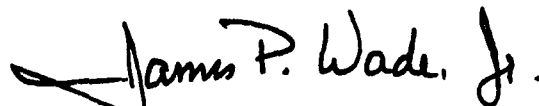
This Regulation is issued under the authority of DoD Directive 3200.12, "Defense Scientific and Technical Information Program," February 15, 1983. It replaces and cancels DoD Instruction 5100.45, "Centers for Analysis of Scientific and Technical Information," July 28, 1964. This Regulation applies to only those centers whose primary purpose is to provide analytical and evaluative support to defense research, development, and acquisition programs and whose basic operating funds are appropriated for research, development, test, and evaluation.

The provisions of this Regulation apply to the Office of the Secretary of Defense, the Military Departments, and the Defense Agencies (hereafter referred to as "DoD Components"). This Regulation prescribes procedures to be followed by all DoD Components in establishing, operating, and administering centers for Analysis of Scientific and Technical Information (hereinafter referred to as Information Analysis Centers) within the framework of the DoD Scientific and Technical Information Program.

This Regulation is effective immediately and is mandatory for use by all DoD Components. Heads of DoD Components may issue supplementary instructions only when necessary to provide for administration of this Regulation within their respective Components. Send recommended changes to the Regulation through channels to:

Director, Research and Laboratory Management
Office of the Deputy Under Secretary of Defense (Research and
Advanced Technology)
The Pentagon, Room 3E114
Washington, D.C. 20301-3081

DoD Components may obtain copies of this Regulation through their own publication channels. Other Federal agencies and the public may obtain copies from the Director, U.S. Naval Publications and Forms Center, 5801 Tabor Avenue, Philadelphia, Pennsylvania 19120.



James P. Wade, Jr.
Acting
Under Secretary for
Research and Engineering

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REFERENCES

- (a) DoD Regulation 5200.1-R, "Information Security Program Regulation," August 1982
- (b) DoD Regulation 5220.22-R, "Industrial Security Regulation," February 1984
- (c) DoD Directive 3200.12, "DoD Scientific and Technical Information Program," February 15, 1983
- (d) DoD Directive 5200.12, "Policy on the Conduct of Meetings Involving Access to Classified Information," September 24, 1984
- (e) DoD Directive 5230.24, "Distribution Statements on Technical Documents," November 20, 1984
- (f) DoD Directive 5200.21, "Dissemination of DoD Technical Information," September 27, 1979
- (g) DoD Directive 5000.19, "Policies for the Management and Control of Information Requirements," March 12, 1976
- (h) DoD Directive 5000.11, "Data Elements and Data Codes Standardization Program," December 7, 1964

DEFINITIONS

1. Analysis. A qualitative or quantitative information evaluation requiring technical knowledge and judgement.
2. Centers for Analysis of Scientific and Technical Information. A formal organization with a primary mission to acquire, digest, analyze, evaluate, synthesize, store, publish, and provide advisory and other user services concerning available worldwide scientific and technical information and engineering data in a clearly defined, specialized field or subject area of significant DoD interest or concern. Information Analysis Centers (IACs) are distinguished from technical information centers and libraries whose functions primarily are concerned with providing reference or access to the documents themselves rather than the information contained in the documents.
3. Data. Any representation such as characters or analog quantities to which meaning may be assigned. Data may be expressed in digital, graphic, electronic, or symbolic form.
4. Scientific and Technical Information (STI). Communicable knowledge or information resulting from or pertaining to conducting and managing Research, Development, Test and Evaluation (RDT&E) efforts. STI is used by administrators, managers, scientists, and engineers engaged in scientific and technological efforts and is the basic intellectual resource for and result of such effort. Throughout this Regulation the term information shall mean specifically STI and may not be construed to mean scientific and technical intelligence.
5. Sponsoring DoD Component. The DoD agency that provides basic operating funds and administrative direction for a given IAC.
6. Technical Advisory Group. A group of technical experts chosen to advise and monitor the activities of a given IAC.
7. Technical Monitor. The Government technology specialist or project engineer providing continuous technical direction and oversight for the IAC.

CHAPTER 1

THE DoD PROGRAM FOR INFORMATION ANALYSIS CENTERS

A. POLICY

1. In recognition of the important and integral part that information analysis and evaluation activities play in the research and development process, the Department of Defense shall endorse institutionalization of these activities in the form of information analysis centers (IACs) when sufficient requirements or benefits are established.

2. DoD IACs shall be established primarily to support the Department of Defense. They may serve the private sector to the extent practicable within DoD security guidelines and DoD policy regarding the handling of information on military critical technologies. Applicable DoD security guidelines include DoD Regulations 5200.1-R (reference (a)) and 5220.22-R (reference (b)).

3. IACs will not receive, process, or disseminate scientific and technical intelligence.

4. Each IAC shall maintain a staff of technical experts in its field of specialization. The center shall be attached to or have a working relationship with a private sector or DoD organization engaged in technical work related to its mission and may seek assistance from qualified experts employed by that organization.

5. Each IAC shall be administered by a single sponsoring DoD Component to be designated by the Under Secretary of Defense for Research and Engineering (USDR&E) in accordance with DoD Directive 3200.12 (reference (c)).

6. Classified information shall be receipted, controlled, disposed of, and protected from unauthorized disclosure in accordance with the provisions of DoD Regulation 5200.1-R (reference (a)) and DoD Regulation 5220.22R reference (b)).

7. Publication and release of technical information shall be in accordance with DoD regulations including DoD 5200.1-R (reference (a)). Documents containing classified information shall be issued in accordance with DoD release and security directives contained in reference (a) and (b) after they have been reviewed and approved by responsible technical and security authorities.

8. IACs shall be aware of and shall observe all current export control lists and licensing procedures as established by the Department of State, United States Munitions List; The Department of Commerce, Commodity Control List; and the Department of Energy, Atomic Energy Act. IACs shall ensure that all personnel understand fully these lists and procedures, and centers shall be prepared to act whenever necessary to ensure that these lists and procedures are respected.

9. In the case of contractor operated IACs, the Technical Monitor shall provide technical guidance to the IAC, with the assistance of an ad hoc technical advisory group appointed by the Technical Monitor. In-house IACs

shall have their activities monitored by an ad hoc technical advisory group recommended by the manager of the IAC and approved by the focal point of the sponsoring DoD Component for the IAC concerned.

10. DoD IACs shall establish mechanisms for cooperation and cross-fertilization of ideas on management philosophy, policy, promotion, operating procedures, and other areas of mutual interest. Meetings of all DoD IAC managers, technical monitors, and sponsors shall be held for the purpose of information exchange in these areas.

B. RESPONSIBILITIES

1. The Under Secretary of Defense for Research and Engineering (USDR&E) shall:

a. Maintain overall management control of the DoD STI Program in accordance with DoD Directive 3200.12 (reference (c)).

b. Approve or disapprove all proposals by the heads of DoD Components involving the establishment of new IACs, major changes in an IAC's scope or subject area, or disestablishment of an IAC.

c. Appoint a technology specialist to each DoD IAC as Technical Monitor.

2. The Director, Research and Laboratory Management OUSDR&E (Research and Advanced Technology (R&AT)) or his designee shall:

a. Centrally monitor the DoD IAC program and establish mechanisms to promote standardization among the programs to the DoD Components regarding procurement practices and interagency operations, the development of standard performance measurement, and reporting criteria.

b. Appoint an ad hoc review board to review each IAC at least biennially.

3. The Sponsoring DoD Component shall:

a. Provide continuous administrative and operational management for the IAC assigned. Designated in-house DoD IACs are assigned to the proposing Defense Agency or Military Service as approved by the USDR&E.

b. Prepare and defend programs and budgets consistent with annual budget cycles and USDR&E requirements for each assigned IAC.

c. Establish USDR&E-approved IACs through procurement of contract services or direct in-house establishment, as appropriate.

d. Review performance of the IACs in coordination with the Technical Monitor and the Director, Research and Laboratory Management, OUSDR&E (R&AT) to assess continuing need and approve program changes as necessary to improve performance.

4. The Technical Monitor shall:

a. Provide continuous technical direction and oversight for the IAC assigned.

b. Assess technical subject requirements and adequacy of literature coverage by the IAC for the DoD users.

c. Evaluate and approve IAC proposals for products and services from the technical standpoint.

d. Be a Government employee and not a member of the IAC staff. Synonymous titles are Technical Manager, Government Project Engineer, and Contracting Officer's Technical Representative (COTR).

e. Provide the technical requirements input for the Statement of Work for contractor-operated IACs.

CHAPTER 2

ESTABLISHMENT AND DISESTABLISHMENT OF DOD
INFORMATION ANALYSIS CENTERSA. ESTABLISHMENT OF IACs

1. Proposals from DoD Components for establishment of an IAC shall be processed through the same channels that are used to approve and authorize any other RDT&E program.

2. Approval shall be based on, but not limited to, the following criteria:

a. Documented evidence of a requirement to fill a void in an emerging DoD technology thrust area.

b. Clear definition of subject fields to be covered and demonstration that other IACs or sources do not duplicate the proposed IAC.

c. Cost and effectiveness and evaluation of alternate ways of accomplishing the objectives of the IAC.

d. Adequate financial support and plans for continuing support to achieve the announced objectives of the IAC.

e. Active support of the IAC by persons engaged in the type of technical work to be covered by the IAC's information products.

f. Evidence of capability to enforce proper security procedures and controls on technology transfer.

3. Subject Coverage. Subject areas covered by an IAC may be determined from one or both of the following categories:

a. Discipline-Oriented Coverage. This information pertains to all, or a clearly defined part of, a recognized scientific or engineering discipline, which has its own literature or professional traditions.

b. Mission-Oriented Coverage. This information pertains to a military undertaking of special interest to the Department of Defense or to a specific large weapon or its support system or a group of such systems, and therefore, an area that requires an interdisciplinary approach.

4. Size and Location

a. No specific limitations are imposed concerning the size of an IAC as long as the functions described in Definitions (page iv) can be accomplished.

b. IACs may be located at:

1. DoD installations, laboratories, and activities.
2. Contractor installations (educational institutions, industrial firms, and not-for-profit institutions).
5. Security. IACs will satisfy all physical and document security requirements, as set forth in applicable and referenced DoD directives, for the protection of classified information stored or held therein.

B. DISESTABLISHMENT OF IACs

1. A combination of factors may form the basis for a decision to recommend disestablishment of an IAC. Following a complete review, the USDR&E will make the decision concerning disestablishment of an IAC. The following are typical of questions that may be considered in pondering such a decision.
 - a. Is the IAC still functioning in a major DoD technology thrust area?
 - b. Is the IAC demonstrably useful to the Department of Defense?
 - c. Is the IAC fulfilling a DoD need that is not duplicated by other public, private, or government organizations?
 - d. What is the value of products or services to users with respect to current DoD programs?
 - e. Are funds available?
 - f. Is the IAC maintaining proper security controls and controls over transfer of technology to foreign individuals and organizations?
2. After the USDR&E has decided to disestablish an IAC, the following shall be accomplished:
 - a. The sponsoring DoD Component shall announce a termination date at least 90 days before the termination date and shall require the managing supervisor of the IAC to provide a written inventory of the IAC's holdings.
 - b. The sponsoring department or agency shall decide the disposition of the IAC's holdings with the assistance of the managing supervisor of the IAC and the approval of USDR&E.

CHAPTER 3

OPERATION OF DOD INFORMATION ANALYSIS CENTERS

A. POLICY

1. Basic IAC operations, as defined by the sponsoring DoD Component, shall be supported by DoD funds.

2. IACs shall assist in advancing standardization of the technology in the IAC's special field of expertise.

3. IACs shall make optimal use of cost-effective new and advanced technologies, such as computers, telecommunications, and word processing, in operation of their centers.

4. IACs shall acquire, store, and disseminate subject area technical information from appropriate sources, domestic and foreign, including support of approved information exchange programs with countries that have agreements with the United States. However, IACs will not duplicate the existing DoD foreign open-source scientific and technical intelligence literature exploitation program or automated data base.

5. If applicable, IACs shall participate in programs designed for the transfer of technology in assigned areas of technical responsibility. Equally, they shall ensure that such participation does not lead inadvertently to unauthorized transfer of technology.

6. IAC personnel are authorized and encourage to plan, provide technical support for, and participate in major technical conferences, meetings, or symposia in their area of technical specialization. Sponsorship and attendance at meetings will be in accordance with applicable DoD regulations such as DoD Directive 5200.12 (reference (d)) including provisions on security and on transfer of technology. IAC personnel shall maintain contact with senior investigators and develop working relationships with technical, professional, and trade associations and related technical groups to exchange information. Travel funds shall be conserved by using meetings and conferences as an opportunity for making known the products and services of the IAC and maintaining contact with senior investigators in the specialized field of the IAC.

7. IACs shall prepare, announce, and provide primary distribution of critical reviews, state-of-the-art reports, handbooks, data compilations, lists of technical experts, and other significant publications pertaining to their assigned areas of technical specialization. IACs shall respond to inquiries from qualified users bearing in mind applicable security controls and restrictions on transfer of technology to foreign individuals and organizations.

8. With the exception of scientific and technical intelligence, classified or special category material may be received by an IAC provided that the information is pertinent to the mission of the IAC and appropriate security measures have been established.

9. Primary distribution of documents formally issued by an IAC, other than direct correspondence in response to inquiries and the annual reports of the IACs, will include the Defense Technical Information Center (DTIC).

10. IACs will not provide secondary distribution for any documents other than their own. Any IAC engaged in secondary distribution of DoD generated reports shall transfer the distribution activity to the DTIC.

11. The DTIC will provide microfiche copies of technical reports originated by the IACs to DoD and its contractors registered for services with the DTIC at the standard microfiche price.

12. Services provided by the IACs will be on a cost-recovery basis in accordance with guidelines provided by the sponsoring DoD Component.

B. RESPONSIBILITIES

1. The Sponsoring DoD Components shall:

a. Establish standard reporting requirements and performance measuring criteria for each IAC under its cognizance to the extent possible to permit evaluation of the relative effectiveness of individual IACs.

b. Ensure that the IAC has a clear definition of subject fields to be covered to avoid duplication.

c. Evaluate the cost, effectiveness, and continuing need for assigned IACs.

2. The Technical Monitors shall:

a. Establish operational procedures consistent with DoD security guidelines and technology transfer policy for IAC services to Federal agencies, the private sector, and other customers.

b. Review and correct as necessary IAC publications prior to printing and dissemination.

c. Review, in conjunction with responsible security officials, IAC-originated information and material prior to public release to ensure correct distribution statement marking in accordance with DoD Directive 5230.24 (reference (e)) and to ensure correct public release in accordance with DoD Directive 5200.21 (reference (f)).

3. The IAC shall:

a. Provide services to the DoD departments, agencies, and contractors registered for services with the DTIC.

b. Manage and control information and data elements consistent with the requirements of DoD Directive 5000.19 (reference (g)) and DoD Directive 5000.11 (reference (h)).

c. Report on their activities consistent with the Contract Data Requirements List for contractor-operated IACs and with report requirements of the sponsoring DoD Component for DoD in-house operated IACs. DoD Components of the National Foreign Intelligence Program involved in intelligence collection, processing, analysis, production, and dissemination functions similar to those of IACs are excluded from reporting requirements of this DoD Regulation 3200.12-R-2.

d. Comply with directions and requirements issued by the sponsoring DoD Component and the Technical Monitor.